



**Individual Categorical Exclusion Checklist Guidelines
For
Federal Aid Highway Projects**

May 2018

Individual Categorical Exclusion Checklist Guidelines

For

Federal Aid Highway Projects

The [Federal Highway Administration](#) (FHWA) defines Categorical Exclusions (CE) in 23 CFR 771.117 as actions that based on past agency experience with similar actions, do not involve significant environmental impacts.

The Individual CE Checklist is utilized to document projects which meet the definition of a CE under 23 CFR 771.117 (a) and (b), but do not appear on the list of examples in 23 CFR 771.117(c) or (d). **Projects that require an Individual CE Checklist must be approved by FHWA.** These actions will be documented in an Individual CE Checklist that utilizes a more comprehensive documentation format as outlined in the [Individual CE Checklist Guidelines](#). Check with your ADOT Environmental Planner to determine if your project can be documented using the Individual CE Checklist.

Note: all *specifically listed* c-list CEs and d-list CEs utilize the CE Checklist and the unlisted, but qualifying d-list CEs, utilize the Individual CE Checklist format. Adding highway capacity (through-lanes), major reconstruction of an existing traffic interchange and construction of a new traffic interchange are examples of projects that, though not specifically listed on the d-list, may still qualify under paragraph (d) as an Individual CE.

Overview

Background:

The guideline for the Individual Categorical Exclusion (CE) was developed by the Federal Highway Administration (FHWA) and the Arizona Department of Transportation (ADOT) to streamline the Individual CE reporting process. Check with your ADOT Environmental Planner to determine if this is the appropriate Individual CE for your project. All relevant background research and investigation (e.g., hazardous materials records check, census data, floodplain map) will need to be completed and provided in the project files. The following guidelines are provided to assist with the completion of the Individual CE document.

Please note: For Local Public Agency projects that will be self-administered, please contact the ADOT Environmental Planner for guidance regarding environmental commitments to be listed in the Individual Categorical Exclusion and *Environmental Commitments Sheet*.

NOTE: Local Public Agency (LPA) letters/communications to agencies must be coordinated with the ADOT Environmental Planner to determine appropriate letterhead.

The Individual CE document is divided into five main components: 1) Cover Sheet, 2) Project Description, 3) Environmental Impact Summary, 4) Public Involvement, and 5) Analysis Sheets. Any attachments are included after the Analysis Sheets.

Detailed instructions on how to complete the checklist are provided in these guidelines.

If you have questions on how to proceed with the Individual CE in a particular situation, contact the ADOT Environmental Planner for guidance.

General Notes:

Individual CE template is in Microsoft Word version. Changes to the format or language on the forms are not allowed. Download the Individual CE from the [ADOT Environmental Planning website](#) each time one is utilized as minor changes to the template may occur over time.

Use 12-point font, no smaller than 11 points, where possible.

Delete the Environmental Planning website reference from the footer.

The Cover Sheet does not take the place of the ADOT environmental clearance.

With each submittal a transmittal letter from the LPA/Consultant should be completed and list who completed the Quality Assurance/Quality Control (QA/QC) of the document.

For each of the items listed on the Environmental Impact Summary, determine if the item is present or not present, and check the applicable box. Guidance in determining the presence of a specific resource is provided in the applicable Analysis Sheet. For each item that is present, the corresponding Analysis Sheet shall be attached; for each item that is not present, the corresponding Analysis Sheet shall be deleted. Refer to each applicable Analysis Sheet guidance on whether to attach or not.

Project-specific environmental commitments are provided on each applicable Analysis Sheet and the *Environmental Commitments Sheet*. The *Environmental Commitments* include environmental commitments as well as identifying permits and contractor-needed materials such as species handling guidelines that are to be included in the final Plans, Specifications and Estimates (PS&E). Development of the environmental commitments is to be accomplished in coordination with the appropriate ADOT District(s), the Project Manager, and ADOT Environmental Planner, prior to submittal of the draft Individual CE. The ADOT Environmental Planner will provide only non-standard environmental commitments to the appropriate ADOT District and ADOT Project Manager for concurrence, prior to final review of the

Individual Categorical Exclusion Guidelines

Individual CE. Use the word “will” when referring to ADOT responsibilities and the word “shall” when the contractor is to perform a function. List the environmental commitments in bullet format.

Do not use acronyms or abbreviations as environmental commitments; ensure that environmental commitments are specific, enforceable, and provide clear direction to construction personnel as to the steps to be taken to implement the commitments. These commitments must be written in a format that ADOT Contract and Specifications Section, design, and construction personnel can implement. Use bullet format.

Separate the mitigation measures as follows:

ADOT/LPA Design Responsibilities:

-

(District name) Responsibilities:

-

Contractor Responsibilities:

-

Other applicable categories: (use appropriate heading):

Cover Sheet

This page will always be included in the submittal.

Title Box

Confirm the Federal Project Number, ADOT Project Number, and Project Name with the ADOT Environmental Planner and insert the information. Verify county, route (United States (US) or State Route (SR) number or street name), and limits (to tenth of a mile) and insert the information after the colon. Insert distance to and general direction of the nearest landmark (e.g., 25 miles north of Morenci) after the colon. Contact the ADOT Project Manager to confirm the estimated project construction cost and include the information after the colon.

Include the signature page and transmittal letter to FHWA (refer to examples provided at the back of these guidelines). Type in the ADOT Environmental Planner's full name, where prompted.

State Transportation Improvement Program (STIP) Information

It should be noted the latest date that a project appears in an FHWA approved State Transportation Improvement Plan (STIP)/Transportation Improvement Program (TIP) or Amendment to the STIP/TIP. The purpose for including the STIP/TIP data is to inform FHWA if the project has public sponsorship and is consistent with planning requirements.

Check the STIP/TIP on the ADOT Multimodal Planning Division (MPD) Home Page¹ to determine the most recent FHWA approved STIP/TIP or STIP/TIP Amendment in which the project is listed. In the current STIP/TIP, projects are listed under their respective Council of Governments (COG)/Metropolitan Planning Organizations (MPO) by sponsoring agency or under ADOT. Amendments are listed by COG/ MPO/ADOT. Check if a project is on an Amendment before checking the current STIP/TIP.

If the project is only listed in the current STIP/TIP, then after "STIP/TIP:" indicate the STIP/TIP ID number, if available, and the abbreviations of the COG/MPO/ADOT, followed by the fiscal years (FYs) of the current STIP/TIP (i.e. FY 2011-2014). After "Date:" indicate the date the current STIP/TIP was approved by FHWA in mm/dd/yyyy format. If a project is in an Amendment, then in "STIP/TIP:" add the amendment number after the STIP/TIP FY; no need to note if it is COG/MPO/ADOT. After "Date:" insert the amendment number or amendment FY date that the amendment was approved by FHWA in mm/dd/yyyy format.

Examples:

For project with no STIP/TIP Item number:
STIP/TIP: CAAG, Date: FY 2011-2014

For project with STIP/TIP Item number:
STIP/TIP: #15310, ADOT, Date: FY 2011-2014

For project in STIP/TIP Amendment:
STIP/TIP: #AAP13-001, Amendment No, 61 Date: FY 2011-2014

Under the "Prepared By"(For Local Public Agencies (LPA) use "Submitted By") signature line, type the name of the document author (the person who will sign in the "Prepared By" field); on the next line type in the name of the firm or agency of the author preparing the document. The author will sign and date (MM/DD/YYYY) the "Prepared By" signature line, in blue ink, for each submittal.

Following the firm or agency name, include the on-call consultant QA/QC reviewers initials (in upper case letters) to the left of the colon.

Under the "Reviewed By" signature line, type in the name of the ADOT Environmental Planner; on the next line type the title of the ADOT Environmental Planner (Planner II, III, IV).

¹ <https://azdot.gov/planning/transportation-programming/state-transportation-improvement-program>

Individual Categorical Exclusion Guidelines

Attachments

Check a box for which there is an applicable attachment, and delete those items not relevant to the project. Each attachment has a box. Additions and deletions to this list can be modified for each project. Attachments should be included in the order listed at the end of the document with the exception of the state and vicinity maps and detour maps, if applicable, which should be included in the document immediately after the project description pages. When checking the “Other” box, include text to the right of the box describing what has been attached. If there is more than one attachment, use a list format.

Individual Categorical Exclusion Guidelines

Document Header

Add the project information to the header of the document starting on page 2. Confirm project information with ADOT Environmental Planner. Align the last letter of the longest word in the project information with the right margin of document. Adjust the left tabs so that the first letters of the Federal Project No., ADOT Project No., and the Project Name align. Ensure that headers retain the desired formatting adjustments after any section breaks.

Acronyms and Abbreviations

This page will always be included in the submittal and modified based on project specifics.

Acronyms and Abbreviations

This list provides acronyms and abbreviations found in a typical Individual CE including any figures/exhibits that included as part of the Individual CE, but not including any attachments. List acronyms and abbreviations in alphabetical order. Once listed here, acronyms and abbreviations should not be spelled out in the document. Add acronyms as needed for your project, but do not delete others.

Project Description

1. Need

Include a brief discussion summarizing the need for the project (congestion, accidents, highway surface deteriorated, etc.). For example, for a typical pavement preservation project, the need might be, “The existing pavement has deteriorated at the SR 260/SR 373 intersection.”

2. Purpose

Include a brief discussion summarizing the purpose of the project (i.e., what ADOT plans to accomplish). Explain how implementation of the project will address the project need. For example, for a typical pavement preservation project the purpose might be “The purpose of this project is to improve the condition and life expectancy of the roadway pavement and the driving conditions for motorists.”

3. Scope of Work

Include a complete description of the project components in bullet format. Include project limits, temporary construction easement, new right-of-way (ROW). Identify designated detours in this section, if applicable. Use common language and/or define technical terms for the general public. Identify stockpiling areas and staging areas, if known. Verify that they have been analyzed for impacts.

State Map

Insert a map of Arizona², designating the location of the project and at a minimum all major cities, counties, and highways. The map must include a north arrow and be discernibly reproducible on a black and white copier. Include map scale. This page should include document header.

Project Vicinity Map

Insert a map showing the location of the project. The project limits must be clearly marked. Include all streets and features specifically called out in the document. The map must include a north arrow and be discernibly reproducible on a black and white copier. Insert additional maps (e.g., Detour Location Map) immediately following the project vicinity map, if needed. Show ROW acquisitions, TCE's, detours and other pertinent information (if known). This page should include document header.

4 Existing conditions

Describe existing conditions within the project limits. Check present or not present for each line. In completing the table on *Existing Conditions* (page 6), insert an “x” in the second column if the item is present and in the third column if the item is not present. Discuss the location in the fourth column. The description could include information such as lane width, number and length of turn lanes, type of landscaping present (e.g., native plants; ornamental plants), type of culverts (e.g., CBC), etc. The level of detail for the location information can range from “intermittent” or “throughout project area” to identification of specific mileposts or street names, dependent on the involvement of the particular item in the project scope of work. If a culvert will be extended, indicate the culvert location.

Additional comments that may clarify information should be placed in the “Description” column, as applicable. Text in the table should be in bullet format—complete sentences are not required.

Center Medians

If center medians are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Center Median” heading, indicate if features are present, include location information, and add descriptions—such as width, length, and materials (e.g., concrete; brick pavers).

² http://apps.azdot.gov/files/EPG/Interactive_Map/MapIndex.asp

Individual Categorical Exclusion Guidelines

Traffic Controls

If traffic controls are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Traffic Control” heading, indicate if features are present, include location information, and add descriptions—such as “four-way stop intersection.”

Bikeways/Multi-use Pathways

If bikeways/multi-use pathways are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Bikeways/Multi-use Pathways” heading, indicate if features are present, include location information, and add descriptions—such as width and material (e.g., concrete; asphalt; dirt).

Sidewalks

If sidewalks are present within the project vicinity, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Sidewalks” heading, indicate if the sidewalks are adjacent to or set back from the street/highway. Include location information, and add descriptions—such as width, amount of setback (in feet), and/or Americans with Disabilities Act-compliance (if known).

Fencing

If fencing is present within the project limits, place an “x” in the second column in the shaded row; in the Description column, indicate if the fencing is for right-of-way or if it is another type of fencing. In the subsequent rows under the “Fencing” heading, indicate which type of fencing is present. Include location information, and add descriptions—such as width, height, and condition.

Bridges

If bridges are present within the project limits, place an “x” in the second column in the shaded row. In subsequent rows under the “Bridges” heading, indicate which type(s) of bridges are present. Include location information (in milepost[s]), and description.

5 Land Ownership and Land Use- (Existing ROW or Easement³)

Identify the land ownership/management, and land use within the existing ROW and/or easement. Use a separate line for each landowner/manager. Indicate the beginning and ending milepost limits (e.g., MP 1.3 to MP 2.5 or other identifier) under “location.” Indicate whether the existing roadway is on ADOT or LPA (owned) ROW or on an easement under “ROW or Easement.” Identify the landowner/manager (e.g., ADOT, Bureau of Land Management (BLM)) under “Owner/Manager.” Provide a description of the land use (e.g., transportation) within the existing ROW or easement under “Land Use.”

You may need to add additional rows if there are several land owners in the project area. Repeat as necessary.

Identify adjacent land ownership/management and use. If land ownership/management is complex, such as a checkerboard pattern, contact the ADOT Environmental Planner for direction.

³ Land use includes “residential”, “commercial”, “industrial”, etc. Vacant land should be characterized as “undeveloped.” Do not list zoning designations.

If BLM or U.S. Forest Service (USFS) are land managers, reference Guidelines for Highways on BLM and Forest Lands. <http://www.azdot.gov/business/engineering-and-construction/roadway-engineering/roadway-design-standards-and-guidelines/guidelines-for-highways-on-bureau-of-land-management-and-us-forest-service-lands>

Individual Categorical Exclusion Guidelines

6. **Right-of-Way/Easements (Local Public Agencies to use separate map detailing location of ROW or TCE)**

Confirm with the Project Manager, ADOT/LPA ROW specialist, and/or project designer if new ROW or temporary/permanent easements are required for the project. If no ROW or easements are required, check the first box.

If new ROW or easements are required, or if the project extends outside of the ADOT ROW onto another public transportation easement (e.g., City of Phoenix ROW), check the second box. Then check each applicable box, and include the acres of new ROW/easement; type of easement (e.g., drainage, land license); and identify the owner/land manager of each parcel of land that is being acquired/used for the project; and why the ROW/easement is needed. **If the project requires new ROW, FHWA will determine if the amount of new ROW is “minor”**

If the ‘Other’ box is checked, please coordinate with the ADOT Environmental Planner to discuss what may be required to be noted, such as encroachment permits from ADOT for LPA projects or vice versa. SRP land license, etc.

7. **Funding**

Contact the ADOT Project Manager to confirm if the project will be federal or local funding. For LPA projects, break out the total of the LPA monies and federal monies. Include the estimated project costs where prompted.

8. **Administration**

If this project is to be administered by ADOT during construction, put ‘ADOT’ in the form field. If this project is to be self-administered by the LPA, please state the municipality that will implement the project’s construction and contact the ADOT Environmental Planner to determine appropriate mitigation measures and responsibilities.

Environmental Impact Summary

This next section of the document is a summary of the environmental resources/issues present in the project's area of potential effects (APE), and will always be included in the submittal. For each of the listed items, determine if the item is present or not present, and check the applicable box. Guidance in determining the presence of a specific resource is provided in the applicable *Analysis Sheet*. **For each item that is present, a corresponding *Analysis Sheet* shall be attached.** In general, provide information in the "Comment" column in bullet format—complete sentences are not needed—and provide clarification or reference to the *Analysis Sheet*. Contact the ADOT Environmental Planner for projects on tribal lands to discuss the environmental process. If additional information is required in the *Environmental Impact Summary Sheet*, contact the ADOT Environmental Planner for guidance.

Land Management Agency

Identify each land-managing agency within the project's footprint—including those agencies with management responsibilities for new ROW/easements. Verify this information with the project manager and/or ROW specialist, as applicable. Information on land management/ownership can also be obtained on line through Arizona State Land Department (ASLD).⁴ For each land-managing agency marked as present include the agency title (e.g., Tonto National Forest or Navajo Nation, Pinal County, City of Phoenix) in the Comment column. Do not include ADOT as a State Agency.

Natural Environment

Sensitive Biological Resources

A qualified biologist will determine if a biological evaluation (BE) or biological evaluation short form (BESF) is required for the project in coordination with the ADOT Environmental Biologist. Refer to the ADOT-approved BE or BESF for this project. If it has been determined by a qualified biologist that sensitive biological resources are not present in the project area check the "Not Present" box, and in the Comment column, check the document type, and enter the date of ADOT approval. For Items 1–4, identify if concerns are present, and check the applicable box. In the Comment column, include pertinent information (Items 1 and 4); the date that the federal agency (Item 2) and/or the tribe (Item 3) approved the biological document; and reference the *Sensitive Biological Resources Analysis Sheet*.

For native plants (Item 5), check the applicable box, and indicate the date of the native plant survey in the Comment column. For Other Wildlife and Habitat Concerns (Item 6), indicate the agency that commented and the date of comment in the Comment column.

If a "Present" box is checked under the "Sensitive Biological Resources" heading, refer to the *Sensitive Biological Resources Analysis Sheet*.

Noxious/Invasive Species

Determine if any ground-disturbing activities that will be required for the project. Forward a copy of the project scoping letters and maps via email to the appropriate ADOT Herbicide and Invasive Species contacts⁵ and copy the ADOT Environmental Biologist. Include in the project description any ground disturbing activities that will be required for the project. Allow the ADOT Herbicide and Invasive Species contact 30 days to respond with any noxious/invasive species issues. Follow up if they do not respond. If they do not identify any noxious/invasive species concerns check the *Not Present* box, delete the *Noxious/invasive Species Analysis Sheet* and ensure that only the environmental commitments listed under contractor responsibilities are present in the *Environmental Commitments Sheet*. If they respond with noxious/invasive species issues, or an invasive species survey was completed and noxious/invasive species are present, check the "Present" box and refer to the *Noxious/invasive Species Analysis Sheet*. In coordination with the applicable ADOT Environmental Biologist, include any additional environmental commitments requested by the ADOT Herbicide and Invasive Species contact in the *Environmental Commitments Sheet*.

⁴ <http://gis.azland.gov/webapps/parcel/>

⁵ <http://www.azdot.gov/business/environmental-planning/biology/roadside-resources>

Environmental Impact Summary (continued)

Wetland and Riparian Areas

If wetland(s) or riparian area(s) are present within the project vicinity⁶, check the “Present” box and refer to the applicable *Analysis Sheet* in the Comment column. Check the FHWA Wetland Policy to determine applicability⁷. Do not include xeroriparian areas in this section.

100-Year Floodplain

If the project is located—or partially located—within a designated 100-year floodplain, check the “Present” box. If the project is in an area that has not yet been delineated, check neither the “Present” nor the “Not Present” boxes, but check the applicable box in the Comment column. In the Comment column, list the FEMA FIRM maps by number that were referenced and any applicable Letter of Map Revision dates. If the “Present” box or the “Floodplain not delineated” box has been checked, refer to the *100-Year Floodplain Analysis Sheet*.

Section 404/401

If the project is located within Waters of the U.S. (Waters) or near Waters that could be impacted under the jurisdiction of the U.S. Army Corps of Engineers (Corps)—or if the project is moving forward under the assumption that a watercourse in the project area is considered Waters—check the “Present” box and coordinate with the ADOT Water Resources Manager. Include Impaired/outstanding Arizona waters. If the Waters are impacted, include the permit type and/or number, and the Corps file number in the Comment column, where prompted. Section 401 Water Quality Certification: if the project impacts Waters, check the “Present” box and indicate what type of Certification is required (i.e., certified, individual certification, or conditional certification). A copy of the permit/water quality certification and all general, regional, and special conditions—as applicable—will be attached to the submittal and included in the checklist's *Cover Sheet, Enclosed Attachments*. If the “Present” box is checked, refer to the *Clean Water Act Compliance Analysis Sheet*.

Prime and Unique Farmland and Farmland of Statewide or Local Importance

Determine if farmland is present in the project vicinity, and indicate the Natural Resources Conservation Service (NRCS) map referenced in the Comment column. If the “Present” box is checked, refer to the *Prime or Unique Farmlands Analysis Sheet*.

Sole Source Aquifers

If the project is located within a sole source aquifer⁸ include the name of the aquifer in the Comment column, review the current Environmental Protection Agency (EPA)/FHWA MOU regarding sole source aquifer review pursuant to *Section 1424(e) of the Safe Drinking Water Act*, and refer to the *Sole Source Aquifers Analysis Sheet*. *LPA's will send letters to ADOT Environmental Planner who will forward to FHWA to be sent out on FHWA letterhead.*

Wild and Scenic Rivers

If the project is located in the vicinity of a Wild and Scenic River⁹, include the river name in Comment column, indicate if the river is considered a Section 4(f) resource, and refer to the *Wild and Scenic Rivers Analysis Sheet*.

Navigable Waters

If the project involves navigable waters (i.e., the Colorado River), refer to the *Navigable Waters Analysis Sheet*.

⁶ <http://www.fws.gov/wetlands/data/State-Downloads.html>

⁷ https://www.environment.fhwa.dot.gov/ecosystems/laws_23cfr777.asp

⁸ <https://www.epa.gov/uic/underground-injection-control-region-9-az-ca-hi-nv-mp-gu>

⁹ <http://www.nps.gov/ncrc/programs/rtca/nri/states/az.html>

Environmental Impact Summary (continued)

Cultural Resources

Determine if archaeological resources/historic properties are present in the APE (even if the resources have been determined to be not eligible for inclusion on the Arizona Register of Historic Places/National Register of Historic Places (ARHP/NRHP), and check the appropriate “Present” or “Not Present” box. If not present list the report(s), and date(s) of agency and tribal consultation and/or concurrence in the Comment column. Attach HPT Cultural Closeout Memo. If cultural resources are present in the APE refer to the *Archaeological Resources and Historic Properties Analysis Sheet*.

Section 4(f)/6(f) Resources

Section 4(f) Resources

If there is a potential 4(f) resource within a quarter mile of the project limits, contact the ADOT Environmental Planner before proceeding on analysis. If Section 4(f) resources are adjacent to or within the project area, include the name of the resources in the Comment column, and refer to the *Section 4(f) Resources Analysis Sheet*.

Section 6(f) Resources

If Section 6(f) resources¹⁰ are present within the project area, contact the ADOT Environmental Planner. Include the name of the resources in the Comment column, and refer to the *Section 6(f) of the Land and Water Conservation Funds Act Analysis Sheet*.

Visual Resources

If the project will have no impact to the visual character of the project site, check the “No” box and explain why there is no change in the Comment column. If the project will impact the existing visual character of the project area, check the “Yes” box and refer to the *Visual Resources Analysis Sheet*.

If the project is located on lands with specific visual resource management objectives (e.g., BLM; Forest Service), determine if the project will meet the agency’s objectives, check the applicable box, and list the name of the management agency and the date of the agency concurrence in the Comment column.

If the project is located along a designated Scenic Road/Byway¹¹, check the “Yes” box and include the name of the road/byway in the Comment column.

Socioeconomic Resources

Determine if residential or commercial development is present or planned within and/or adjacent to the project limits and check the applicable box. If “Other,” provide a brief description. If the project will require residential and/or commercial displacements, check the “Present” box and refer to the *Socioeconomic Impacts Analysis Sheet*.

Based on the existing environment, if the project may result in potential concerns regarding access and/or neighborhood continuity and community cohesion, check the “Present” box and refer to the *Socioeconomic Impacts Analysis Sheet* in the Comment column. If there are no concerns, check the applicable box, and explain why in the Comment column.

EJ Populations

Consult the most recent Census¹² data to determine if protected populations are present in the project vicinity.

If protected populations are present in the project vicinity and the project will not result in disproportionate or high and adverse impacts on any EJ populations (including but not limited to effects to access, relocations, and neighborhood continuity), check the “Present” box, and insert the following phrase in the Comment column “the presence of EJ

¹⁰ https://www.nps.gov/subjects/lwcf/upload/lwcf_manual.pdf

¹¹ Federal Highway Administration

¹² <http://www.census.gov/2010census/popmap/>

Individual Categorical Exclusion Guidelines

populations was determined to be in the project vicinity, but no EJ populations will have disproportionate or high and adverse impacts by the project. Refer to the *Environmental Justice Analysis Sheet*

If protected populations are present in the project vicinity and the project will have disproportionate or high and adverse impacts on any EJ, check the “Present” box and refer to the *Environmental Justice Analysis Sheet* in the Comment column.

Physical/Construction

Construction-related Impacts

If the project will result in any construction-related impacts, refer to the *Construction-Related Impacts Analysis Sheet* in the Comment column. If the project will not result in construction-related impacts, check the “Not Present” box and explain in the Comment column.

Utilities

If utilities are present in the project area and will be affected by the project, refer to the *Utilities Analysis Sheet* in the Comment column. If utilities are present and will not be affected by the project, check the “Present” box, explain in the Comment column, and delete the analysis sheet. Relocation of utilities due to the project or funded by the project, even when work is done by the utility, may need the relocation area included in the project area of the CE.

Hazardous Materials

Refer to the ADOT-approved hazardous materials documentation (e.g., PISA),¹³ and include the date of ADOT approval of Preliminary Initial Site Assessment (PISA) in the Comment column. Attach the PISA approval page. If hazardous materials were identified in the project vicinity, check the “Present” box, and complete and refer to the *Hazardous Materials Evaluation Analysis Sheet* in the Comment column. If hazardous materials were not identified in the project vicinity, check the “Not Present” box; insert the date of ADOT approval of the PISA and in the “Comment” column, and complete and refer to the *Hazardous Materials Evaluation Analysis Sheet*.

Traffic Noise Analysis

Refer to FHWA’s Noise Abatement Criteria¹⁴ and the ADOT Noise Abatement Requirements (NAR)¹⁵. Check the “Yes” box if the proposed project is Type I, increases capacity (such as added travel lane, weight or rideshare station etc) or alters an existing roadway alignment substantially. Check the “Yes” box if Noise-sensitive land use categories are located within approximately 800-1,000 feet of the project site. Check the “Quantitative Analysis” box if both of the previously described boxes are checked “Yes”, and refer to the Noise Analysis Sheet.

Arizona Pollutant Discharge Elimination System/National Pollutant Discharge Elimination System (AZPDES/NPDES)

Indicate in the Comment column if the project will result in greater than or less than one acre of construction activity. Determine if an AZPDES (non-tribal land) and/or NPDES (tribal land) permit is required. Also indicate in the Comment column if the project is located within 0.25 mile of any outstanding Arizona waters/impaired water¹⁶, and include the water name. If the project will result in construction activity disturbance, refer to the *AZPDES/NPDES Analysis Sheet*.

Air Quality/Mobile Source Air Toxics

Refer to the non-attainment/maintenance area maps on the Arizona Department of Environmental Quality (ADEQ) Web site¹⁷ to determine if the project is located in an area that meets all National Ambient Air Quality Standards. If the project is located in non-attainment or maintenance area(s), check the applicable boxes and include the name(s) of the nonattainment/maintenance area(s) in the Comment column, and refer to the *Air Quality Analysis Sheet*.

¹³ <https://azdot.gov/business/environmental-planning/guidance-for-federal-aid-projects/hazardous-materials>

¹⁴ http://www.fhwa.dot.gov/environment/noise/regulations_and_guidance/

¹⁵ <https://azdot.gov/business/environmental-planning/guidance-for-federal-aid-projects/noise>

¹⁶ <http://www.azdeq.gov/environ/water/permits/stormwater.html>

¹⁷ <http://gisweb.azdeq.gov/arcgis/emaps/?topic=nonattain>

Agency Coordination/Public Involvement Sheet

This page will always be included in the submittal. Follow ADOT Environmental Planning's Scoping Guidance¹⁸. Coordination/scoping letters/fliers should be distributed to all applicable agencies/public entities, adjacent property owners, and non-governmental organizations. All coordination/scoping letters and mailing lists must be reviewed by the ADOT Environmental Planner prior to distribution. Send copies of agency/public scoping letters to the ADOT District in which the project is located if the project construction will be ADOT administered. The same letter may not be appropriate for all agencies and public on the mailing list. Additional or different information or requests may be required in some letters. Copies of all mailed letters and responses received must be forwarded to the ADOT Environmental Planner within one week of receipt of the response.

Agency Scoping/Coordination (as applicable)

List all agencies—including all departments within agencies—contacted, adding and/or deleting unused rows as applicable. For each agency/department, include the date the entity was contacted (in the "Date Contacted" column), the method of notification (i.e., flier, letter, e-mail), the comment—if any—received, and the response to the comment. In the "Response" column, also include the date and method of the response (e.g., 01/07/2005; letter). Insert additional rows and attach additional pages as needed. Comments received from agencies, and the response to those comments, should be attached to the environmental document, and included on Page 1 (refer to the checklist's *Cover Sheet, Item 5. Enclosed Attachments*). If comments are addressed in an *Analysis Sheet*, refer to the sheet in the "Response" column.

Do not send coordination/scoping letters to the Corps¹⁹, EPA²⁰, ADEQ, or Arizona Department of Agriculture as part of the agency scoping process. If any portion of the project is located within a 100-year floodplain, the floodplain administrator shall be included in the scoping process. If the project is located on tribal lands, coordination/scoping letters are not sent to state agencies (e.g., AGFD). If the project is located—or partially located—on federal land (e.g., BLM) contact the land-managing agency to determine applicable agencies for coordination. For example, USFS do not routinely allow plant salvage by the Arizona Department of Agriculture, but they do request coordination with the AGFD.

In accordance with ADOT Environmental Planning Biological Procedures, include a request for a special status species list when preparing the agency coordination letter to AGFD. Also refer to the ADOT Biological Scoping Guidelines for language to use in applicable biological agency scoping letters. If the project occurs on federal land, contact AGFD only if requested to do so by the land-managing agency. If so requested, state this in the text, and continue the discussion as directed below.

Public Involvement, Scoping/Coordination

In the first column, identify the number of individuals contacted during the public scoping process, do not include addresses or contact information. Include the date that individuals were contacted in the "Date Contacted" column, the method of notification (i.e., letter, flier) in the third column, and list any comments received (in bullet format) in the "Comment" column. In the "Response" column, include the applicable response and the date and method of response (e.g., 01/07/2005; letter). Often, input received from the public requires a response from ADOT. Indicate in response column if one needed or not. Attach additional pages as needed. If comments are addressed in an *Analysis Sheet*, refer to the sheet in the "Response" column. Do not attach comment or response letters from the public to the document unless directed to do so by the ADOT Environmental Planner. Include letters without personal addresses.

Public involvement is the responsibility of the project sponsor – ADOT or LPA. The ADOT Environmental Planner can advise if the nature of the project or its location suggest public involvement may add value to the project. LPA public involvement efforts done prior to the start of the CE process should be acknowledged. ADOT Community Relations should be notified on public involvement efforts on ADOT projects and may advise on LPA projects.

Public Meeting(s)

Check the applicable box to indicate whether a public meeting was held. If no public meeting was held, provide a brief explanation why not (e.g., "all interested parties were contacted as part of the scoping process and no issues were identified.")

¹⁸ <https://azdot.gov/business/environmental-planning/guidance-for-federal-aid-projects/nepa-guidance>

¹⁹ Unless the project involves navigable waters, in which case the Corps should be contacted.

²⁰ Unless the project involves sole source aquifer(s).

Individual Categorical Exclusion Guidelines

If a public meeting was held, include the date and location, number of attendees, method of notification; attach handouts, meeting summary and comments. If LPA, coordinate with ADOT Environmental Planner. If handout materials were provided, check the applicable box and attach the handout to the submittal packet, indicating such on Page 1 (refer to the checklist's *Cover Sheet, Enclosed Attachments*). Often, input received from the public requires a response from ADOT. Include the comment and applicable response and the date and the method of response (e.g., 01/01/2020; letter).

Sensitive Biological Resources Analysis Sheet

This page is an *Analysis Sheet* and should be included if any Sensitive Biological Resources were marked as “Present” in the *Environmental Impact Summary*. Under Threatened and Endangered Species insert “BE or BESF.” If the biological analysis results in a “may affect” (either not likely to adversely affect or likely to adversely affect) check the boxes associated with *Federal Sensitive Species* and/or *Tribal Sensitive Species*; (do not check *Item 1*); and include information on the “no effect” species where indicated. For all species, write the common name and include the scientific name, in italics, in parentheses immediately following the common name. For example: Attwater's greater prairie-chicken (*Tympanuchus cupido attwateri*). The BE or BESF ADOT approved cover page must also be included with the final Individual CE for submittal to FHWA. Include any agency or tribal review approval or correspondence of biology document and attach.

1. Threatened and Endangered Species

No Effect

If the BE/BESF resulted in a finding of “no effect” check the box. Within the table, list each species analyzed in detail. For each species, include a brief explanation of why a no effect determination was made (e.g., no vegetation disturbance; project occurs outside breeding season) in the second column.

May Affect, Not Likely to Adversely Affect/Is Not Likely to Jeopardize the Continued Existence or Result in Habitat Destruction or Adverse Modification/May Impact Individuals, but is Not Likely to Result in Trend Toward Federal Listing or Loss of Viability

If the BE resulted in a finding of “may affect, not likely to adversely affect”; “Is not likely to jeopardize the continued existence of the species or result in the destruction or adverse modification of habitat”; or “may impact individual, but is not likely to result in a trend toward federal listing or loss of viability,” check the box. In the table, list species analyzed in detail in the first column. For each species, the second column should include a brief explanation of which affect determination was made and why (e.g., “species use of the area is seasonal and project will occur when species are not present”). Include the date (MM/DD/YYYY) of the USFWS concurrence letter, and a statement of “no effect” on other species where prompted. Approvals and correspondence need to be attached.

May Affect, Likely to Adversely Affect/Is Likely to Jeopardize the Continued Existence/Is Likely to Result in the Destruction or Adverse Modification of Habitat/Is Likely to Result in a Trend Toward Federal Listing or Loss of Viability

If the BE resulted in a finding of “may affect, likely to adversely affect”; “is likely to jeopardize the continued existence”; “is likely to result in the destruction or adverse modification of habitat”; “is likely to result in a trend toward federal listing or loss of viability” check the box. In the table list species analyzed in detail in the first column.

For each species, the second column should include the determination that was made and a brief explanation of why this affect determination was made (e.g., take is anticipated). Include the date (MM/DD/YYYY) of the USFWS Biological Opinion (BO) letter, and a statement of “no effect” on other species where prompted. Include the BO in the Individual CE Enclosed Attachments

Sensitive Biological Resources Analysis Sheet (continued)

2. Federal Sensitive Species

If the project occurs on federal land and federal sensitive species were analyzed, check the box, and insert the applicable biology document type (BE or BESF). List the species analyzed in detail in the first column, and the anticipated effects (e.g., disturbance from construction noise) and determination for each species (e.g., may impact individuals, but is not anticipated to result in a trend toward federal listing or loss of viability) in the second column.

Once coordination is complete, check the box, insert the name of the agency (e.g., BLM, Phoenix Field Office), the date, and list the mitigation required to protect the sensitive species (if applicable). Attach any agency correspondence, feedback or concurrences received to the Individual CE. If no environmental commitments are required, state this under the coordination statement. If the land-managing agency declined to review the biological document, check the box, and list the applicable biological document.

3. Tribal Sensitive Species

If the project occurs on tribal lands, check the box and insert the name of the tribe. If the tribe requests special species be evaluated as part of the project, list the species analyzed in detail in the first column. Include any tribal agency correspondence, feedback or concurrences received in the Individual CE Enclosed Attachments. List anticipated effects (e.g., disturbance from construction noise) and determination for each species (e.g., may impact individuals, but is not anticipated to result in a trend toward federal listing or loss of viability) in the second column. Include any required mitigation measures and the date of the tribal concurrence with the biological document. If the tribe declined to review the biological document, check the box, and include the applicable biological document.

If the project occurs on the Navajo Nation, requests for the Navajo Nation Endangered Species List will be prepared by the ADOT Environmental Planning consultant and submitted to the ADOT Environmental Biologist. The ADOT Environmental Biologist will forward the request to FHWA to be printed on FHWA letterhead and mailed.

If the project occurs on the Fort Apache Reservation, include a statement that the tribe completed the biological report for ADOT after the colon in *sub item 2: Date of Tribal review(s)* and include any pertinent Tribal coordination information under *sub item 3 Other Tribal Coordination*.

4. Arizona Species of Concern

The AGFD has no jurisdiction on tribal land or federal land. However, the USFS and BLM generally request coordination with AGFD. If the project occurs on tribal land, leave this section blank; if the project occurs on federal land, leave this section blank unless the land-managing agency requests coordination with AGFD. If the project occurs on both federal and non-federal lands, modify the text to identify that this section applies only to portions of the project on non-federal lands. Ensure that the limits of the federal land are on the Project Description pages as applicable.

AGFD will be scoped as part of the agency scoping process. If AGFD provides a sensitive species list, check the applicable box and include the correspondence with the submittal and list on the checklist's *Cover Sheet, Enclosed Attachments*. If AGFD responded requesting additional information or with other concerns, check the applicable box and include a brief explanation. If AGFD requested specific consideration for a specific species, check the "Sensitive Species" box, identify the species, and include a discussion of AGFD concerns and how these were addressed. Also include specific environmental commitments in the *Environmental Commitments Sheet*.

Sensitive Biological Resources Analysis Sheet (continued)

5. Native Plants

The Arizona Native Plant Law applies only to listed plants that are naturally occurring, not landscaped or planted individuals. The Arizona Department of Agriculture maintains the most current species list.²¹ The Arizona Department of Agriculture has no jurisdiction on tribal land or federal land. If the project occurs on tribal land, leave this section blank; if the project occurs on federal land, leave this section blank unless the land-managing agency requests that the project follow the Arizona Native Plant Law. The biological report completed for the project will state if protected native plants are present in the project area. If protected native plants are present, but will not be impacted (i.e., will be avoided by construction), check the applicable box and include an explanation.

If protected native plants will be impacted, verify the landowner of the project area. If the project is located on federal lands, check the applicable box. If the federal land manager requests that the project follow the Arizona Native Plant Law, check the applicable box, insert the name of the land managing agency, and include a brief description of the coordination and list any applicable environmental commitments in the *Environmental Commitments Sheet*.

If the project is located on nonfederal lands, the Arizona Department of Agriculture must determine the disposition of the plants. Check the applicable box, and include any environmental commitments in the *Environmental Commitments Sheet*. All native plant environmental commitments are the responsibilities of ADOT Roadside Development Section.

6. Other Wildlife and Habitat Concerns

Refer to the biological document and any responses received during the agency scoping/coordination process to identify other wildlife and habitat concerns. Indicate in the table if other wildlife/habitat concerns were identified and include applicable environmental commitments in the table and on the *Environmental Commitments Sheet*.

²¹ <https://agriculture.az.gov/plantsproduce/native-plants>

Noxious/Invasive Species Analysis Sheet

Determine if any ground-disturbing activities that will be required for the project. If there are no noxious/invasive species concerns, delete this page from the document, and ensure that only the environmental commitments listed under contractor responsibilities are present in the *Environmental Commitments Sheet*.

Noxious/Invasive Species Concerns

Check the box if the noxious/invasive species concerns are identified. If specific noxious/invasive species are identified, list the noxious/invasive species found in the project area—if more than two species were identified use a bullet format. For all species, write the common name and include the scientific name, in italics, in parenthesis immediately following the common name. For example: Russian Knapweed (*Acroptilon repens*).

Wetland Area(s) Analysis Sheet

Determine if wetland(s) are present within the project area.²² If wetland(s) are not present in the project vicinity, delete this page from the document. If wetlands will be impacted, a Section 404 Permit will be required.

Wetland(s)

Determine if wetland(s) will be avoided or impacted by the project, and check the applicable box. If no environmental commitment is necessary for avoidance, explain how/why the area will be avoided (at bottom of slope where no work will occur, etc.). All applicable environmental commitments specific to the wetland(s), including commitments needed for avoidance should be placed on the *Environmental Commitments Sheet*.

Erosion Control/Stormwater Management

If specific erosion control or storm-water management measures will be used to protect the wetland(s), check the applicable box, and include a list of the environmental commitments are present in the *Environmental Commitments Sheet*, or refer to the *AZPDES/NPDES Analysis Sheet*.

Wetland Impacts

If wetland(s) will be impacted, list the location of the wetland(s), the proposed work occurring in the wetland, and observed and/or expected waterfowl/wildlife inhabiting or dependent on the wetland—this information should be consistent with the *Sensitive Biological Resources Analysis Sheet*.

FHWA Wetland Policy (23 CFR § 777)²³

Review the FHWA Wetland Policy to determine applicability.

Section 404 Permit

If the wetland has been delineated and determined to be under the jurisdiction of the Corps, check the applicable box and state the Corps File Number. If a Section 404 Permit is required, include the permit number (if a NWP) or state that an Individual Permit is required.

Coordination with Corps

If the wetland is not a Waters, and no permit is required, check the box and include a summary of coordination with the Corps.

²² http://www.usace.army.mil/Portals/2/docs/civilworks/regulatory/reg_supp/west_mt_finalsupp.pdf

²³ <https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=2&SID=4fc2f5af3f0a22fe48544f6bbc220eab&ty=HTML&h=L&mc=true&n=pt23.1.777&r=PART>

Riparian Area(s) Analysis Sheet

Determine if riparian area(s) are present within the project area (this is not applicable to xeroriparian areas). If riparian area(s) are not present in the project vicinity, delete this page from the document. If riparian area(s) will be impacted by the project, a Section 404 Permit may be required. All commitments specific to the riparian area(s), including commitments necessary for avoidance should be placed on the *Environmental Commitments Sheet*.

Riparian Area(s)

Determine if riparian area(s) will be avoided or impacted by the project and check the applicable box. If no environmental commitment is necessary for avoidance, explain how/why the area will be avoided (e.g., at bottom of slope where no work will occur, etc.).

Erosion Control/Storm-water Management

If specific erosion control or storm-water management measures will be used to protect the riparian area(s), check the applicable box, and include environmental commitments on the *Environmental Commitments Sheet*, or refer to the *AZPDES/NPDES Analysis Sheet*.

Riparian Impacts

If riparian area(s) will be impacted, list the location of the area(s), the proposed work occurring in the riparian area, and observed and/or expected flora/fauna inhabiting or dependent on the riparian area—this information should be consistent with the *Sensitive Biological Resources Analysis Sheet*.

Section 404 Permit

If the riparian area has been delineated and determined Waters, check the applicable box and state the Corps File No. If a Section 404 Permit is required, include the permit number (if a NWP) or state that an Individual Permit is required.

Coordination with Corps

If the riparian area is not a Waters, and no permit is required, check the box and include a summary of coordination with the Corps.

100-Year Floodplain Analysis Sheet

Review FEMA 100-year FIRMs on the FEMA website.²⁴ Include all floodplain FIRM numbers that occur in the project area and the effective or revision date for each FIRM, where indicated. Include the FEMA FIRM numbers even if the 100-year floodplain has not been delineated. If the project is not located within a 100-year floodplain, delete this page from the document.

FIRM Map No(s)

Determine if the project is within a 100-year floodplain. If a determination cannot be made whether or not the project is within a 100-year floodplain, contact the county flood control district or the local floodplain manager for assistance.

If the project is within a floodplain, determine if the floodplain will be impacted by the project. Impacts typically occur when topography within the floodplain is substantially modified either by placement or removal of materials within the floodplain. If the project will impact a 100-year floodplain, check the applicable box and provide an explanation of project impacts. Additionally, follow the requirements of 23 CFR Part 650(A).²⁵ Contact the ADOT Environmental Planner and develop summary text to be included in the document.

If the floodplain has not been delineated for the project area, check the applicable box, and include the type of project in the paragraph where prompted.

Include the local floodplain manager in the scoping process if the project is within a 100-year floodplain, or if the floodplain is not delineated. Check the box indicating that the local floodplain manager has been apprised of the project, and include a statement regarding any comments received (e.g., "and has no comment on the project").

²⁴ <https://msc.fema.gov/portal>

²⁵ <http://www.fhwa.dot.gov/legisregs/directives/fapg/cfr0650a.htm>

Clean Water Act Compliance Analysis Sheet

Determine Section 404 applicability (no involvement, Regional General Permit (RGP), NWP, or Individual Permit required). If the project has no involvement with Waters, delete this page from the document. If Waters are involved with the project, refer to ADOT's *Section 404 – 401 Procedures, Applications and Permits web page*²⁶. LPA projects that require Section 404 permits, contact the ADOT Environmental Planner.

Section 404 Permit

Waters Not Impacted

If Waters are present within or near the project area, but will not be impacted (e.g., will be avoided by construction), check the applicable box.

Impacts to Waters

If the project will impact Waters, check the applicable box. State the location (in MP where possible) where the impacts will occur.

Regional General Permit (RGP)

If the ADOT RGP #96 is applicable, check the appropriate box including notification level. Ensure that the permit and appropriate verification letter and conditions are included if notification to the Corps was required. Include the Corps file number and include special conditions from the verification letter in the environmental commitments and on the *Environmental Commitments Sheet*. The RGP includes a 401 Certification, but may require notification to ADEQ, per conditions of the certification. Attach all pages of the RGP, verification letter, and 401 certification to the Individual CE and *Environmental Commitments Sheet*.

Nationwide Section 404 Permit

If a NWP is required, check the applicable box and include the NWP Number where prompted. Determine if a Preconstruction Notification (PCN) is required, and check the applicable box. If a PCN is required, include the Corps File Number, and ensure that the bolded Special Conditions from the Corps permit verification letter are included on the *Environmental Commitments Sheet*. For all NWPs, attach all the pages of the Corps permit verification. Either an Individual or Conditional Section 401 Water Quality Certification is mandatory for any activity that requires a Section 404 permit. A Section 401 Certification is required prior to discharging any dredged or fill materials into a Waters. Attach all pages of the Nationwide Permit to both the CE and *Environmental Commitments Sheet*.

Individual Section 404 Permit

If an Individual Section 404 Permit is required, check the applicable box and include the Corps File Number. Ensure that the bolded Special Conditions from the Corps Individual Permit (Corps IP) letter are included on the *Environmental Commitments Sheet*. Attach all the pages of the Corps IP to both the CE and *Environmental Commitments Sheet*. An Individual Section 401 Water Quality Certification is mandatory for any activity that requires an Corps IP. A Section 401 Certification is required prior to discharging any dredged or fill materials into a Waters.

Type of Impacted Water

Identify if the Waters to be impacted by the project are considered "Tribal", "outstanding Arizona waters", or "Other" waters and check the applicable box. "Tribal waters" are any Waters occurring on tribal lands. "outstanding Arizona waters" are located on non-tribal land and designated by ADEQ.²⁷ "Other Waters" are all Waters on non-tribal lands for which Section 401 Certification has not been specifically denied.

²⁶ <https://azdot.gov/business/environmental-planning/guidance-for-federal-aid-projects/water-resources>

²⁷ <http://legacy.azdeq.gov/environ/water/permits/download/oaw.pdf>

Individual Categorical Exclusion Guidelines

Section 401 Water Quality Certification

Determine the requirements for the Section 401 Certification (i.e., conditionally certified, individually certified). Based on the land jurisdiction of the Waters, check the applicable boxes and include file numbers. Attach all the pages of Section 401 Certification conditions or Individual Section 401 Certification to the CE and the *Environmental Commitments Sheet*.

For projects requiring Individual Section 401 Certifications on non-tribal lands, submit the Section 401 application (hard copy), including Best Management Practices or other measures that are proposed to minimize watercourse impacts, to the ADOT Environmental Planner. The ADOT Environmental Planner will send the application to the ADOT District for their signature. The ADOT Environmental Planner will send the signed application along with the transmittal letter to Surface Water Permits Unit at ADEQ, 1110 West Washington Street, Phoenix, Arizona, 85007. The documentation should be in the form of a list of conditions. Except for Fort Apache Reservation, Navajo Nation, Hopi Reservation and Hualapai Tribe, for projects requiring Individual Certification on tribal lands, the application is submitted to EPA Region IX, San Francisco Office, Mail Code WTR 8, 75 Hawthorn Street, San Francisco, CA 94105. For projects on the Fort Apache Reservation, Navajo Nation, Hopi Reservation and Hualapai Tribe, contact the tribal representative for 401 Certification. Check "Project on Tribal Lands ..." box for all tribal reservations except Fort Apache, Navajo Nation, Hopi Reservation and Hualapai Tribe.

Guidance when there is a NWP without a PCN

Insert the NWP number (e.g., 14) in the environmental commitments. Attach the NWP and Section 401 conditions to the Individual CE and the *Environmental Commitments Sheet*, indicating such on the checklist's *Cover Sheet, Enclosed Attachments*.

Guidance when there is a Section 404 Permit with PCN

Add the bolded Special Conditions from the Corps permit verification letter in the *Environmental Commitments Sheet*. Attach the NWP and Section 401 Water Quality Certification, general, regional (as applicable), and special conditions to the *Environmental Commitments Sheet*, indicating such on the checklist's *Cover Sheet, Enclosed Attachments*.

Guidance when there is a Section 404 Individual Permit

Insert the type of Water Quality Certification and the Certifying Agency. Attach the Corps IP, Section 401 Water Quality Certification and the Corps impact sheet(s) to the *Environmental Commitments Sheet*, indicating such on the checklist's *Cover Sheet, Enclosed Attachments*.

Prime or Unique Farmlands Analysis Sheet

Determine if farmland is present within and/or adjacent to the project limits and check the applicable box. If farmland is not located within or adjacent to the project footprint, delete this page from the document.

1. Presence of Farmland

If farmland is present within or adjacent to the project limits, check the applicable box(es).

2. Type of Farmland

Determine if the farmland in the project area is prime, unique, or of statewide or local importance²⁸, by using the NRCS on-line GIS tool and applicable State/Local agencies as needed, and check the applicable box. If the farmland within the project area has not been designated as either prime, unique, or of statewide or local importance, or if the farmland is not actually used as agricultural land, no other impact analysis is required on this sheet.

3. Farmland Not Impacted by Project

Determine the project's impact to farmland. If farmland within the project limits will not be impacted by the project, check the applicable box and explain why there will be no impact and include any necessary avoidance environmental commitments.

4. Farmlands Impacted by Project

If farmland will be impacted, check the applicable box, identify the number of acres impacted, and describe the impacts.

If the project impacts farmland that is not on land zoned for more intense development, determine if the project is considered a "corridor-type project," check the applicable box, and complete either the Farmland Conversion Impact Rating form (AD-1006)²⁹ or the Farmland Conversion Impact Rating, Corridors form (NRCS-CPA-106)³⁰. Attach the form, as well as instructions for the form, and list the form on the checklist's *Cover Sheet*. Insert information regarding the area removed from farming (in acres) and the number of farms that will be impacted by the conversion as applicable.

²⁸ <http://websoilsurvey.nrcs.usda.gov/app/websoilsurvey.aspx>

²⁹ <http://www.nrcs.usda.gov/wps/portal/nrcs/main/national/landuse/fppa/>

³⁰ <http://www.nrcs.usda.gov/wps/portal/nrcs/main/national/landuse/fppa/>

Sole Source Aquifer Analysis Sheet

Include this section only if the project is located in Upper Santa Cruz & Avra Basin or Bisbee-Naco sole source aquifer areas. To determine whether the project area is located in a sole source aquifer, refer to the EPA, Region IX, designated sole source aquifer maps, located on the EPA Sole Source Aquifer website. If the aquifer boundary is still difficult to define, contact the EPA Region IX representative (David Albright / albright.david@epa.gov / 415-972-3971). If the project is not located within a sole source aquifer, delete this page from the document.

Draft letters will be prepared by the ADOT consultant of LPA. The ADOT Environmental Planner will coordinate with the FHWA Environmental Coordinator for submission of the letter to EPA

EPA Safe Drinking Water Act Section 1424(e) review

Refer to the current EPA/FHWA MOU ³¹ regarding the Sole Source Aquifer review pursuant to *Section 1424(e) of the Safe Drinking Water Act* to determine if an EPA review is required (the ADOT Environmental Planner can provide a copy). If the project requires a Section 1424(e) review, check the applicable boxes to indicate why the review was required, summarize the results and include the date of the review. [Include any environmental commitments specific to sole source aquifers, including those required by the ADOT Environmental Planner, FHWA, or the EPA on the *Environmental Commitments Sheet*.](#)

EPA Notification

If the project does not require a Safe Drinking Water Act Section 1424(e) review by EPA, check the applicable box(es) and contact the ADOT Environmental Planner. FHWA must notify the EPA of all projects processed as an Individual CE that will not require a Safe Drinking Water Act Section 1424(e) review by EPA. Include the notification date where prompted.

³¹ <http://azdot.gov/business/environmental-planning/environmental-guidance/nepa-process-guidance>

Wild and Scenic Rivers Analysis Sheet

Determine if a Wild and/or Scenic River is present in the vicinity of the project area, and is (a) recommended for listing, or (b) designated. If the project is not in the vicinity of a wild and scenic river (or a recommended wild and scenic river), delete this page from the document. Publicly owned waters of designated wild and scenic rivers are Section 4(f) resources.

Wild/Scenic River

If a designated wild and scenic river, or a river recommended for listing, occurs within the project area, insert the name of the river.

Project Affect

Determine if the project will have an effect to the river. If the project will not impact the river, check the applicable box and either include environmental commitments for avoidance, or include an explanation of why the river will not be impacted. Environmental commitments to minimize effects to rivers designated—or recommended for designation—to the Wild and Scenic River System must be developed in coordination with ADOT, FHWA (as applicable), and the agency responsible for managing the river prior to submittal of the environmental document. List environmental commitments on the *Environmental Commitments Sheet*.

If the project will affect the river, determine if the project will have an adverse effect on the river as outlined in *Guide for Identifying Potential Adverse Effects*.³² If the project could adversely affect a river designated—or recommended for designation—to the Wild and Scenic River System, contact the ADOT Environmental Planner immediately to determine whether an Individual CE is the applicable level of NEPA documentation. Coordinate with the agency responsible for managing the river. After coordination is complete, describe the potential impacts to the river, explain why the effects are not adverse, and include information on the agency coordination/concurrence (e.g., NPS) with the effect determination.

³² https://www.dot.ny.gov/divisions/engineering/environmental-analysis/manuals-and-guidance/epm/repository/FHWA_MEMO1980.PDF

Navigable Waters Analysis Sheet

Determine if the project involves a navigable water (i.e., the Colorado River). The USACE maintains a list of waterways for which the navigable status has been determined³³, but the list only includes waterways where a jurisdictional determination has been requested. **If the project does not involve navigable water(s), delete this page.**

Section 9 United States Coast Guard (USCG) Permit

Section 9 of the Rivers and Harbors Act ([33 USC 491](#)) prohibits the construction of any bridge, dam, dike or causeway over or in navigable waterways of the U.S. without Congressional approval. The USCG administers Section 9 and issues Bridge permits over navigable waters. Regulations for administering the law are in Navigable Waterway regulations [33 CFR 114](#).

Anyone proposing to build a bridge over navigable waters must obtain a bridge permit from the USCG. Bridge permit regulations are found under [23 CFR 650](#). However, the definition of “navigable waters” that require a USCG bridge permit, found in Highway regulation [23 CFR 650.807](#), is slightly different from the Corps definition found at 33 CFR 329.4. Navigable waters that require a USCG bridge permit are defined as “(1) tidal and used by recreational boating, fishing, and other small vessels 21 feet or greater in length or (2) used or susceptible to use in their natural condition or by reasonable improvement as a means to transport interstate or foreign commerce.” USCG advises that if the navigability of a waterway is in question that a request for a jurisdictional finding be submitted to them. The size of a waterway does not determine whether it is considered navigable by the USCG.

Contact District 11³⁴ of the USCG as part of the project agency scoping. Once the coordination is complete, check the “Coordination with USCG” box, and enter the date of the consultation. Include USCG scoping/response letter. Environmental commitments must be developed in cooperation with ADOT, FHWA, USCG, and the Corps—as applicable—prior to submittal of the Individual CE. List environmental commitments on the *Environmental Commitments Sheet*.

In consultation with the USCG, determine if a USCG permit is required,³⁵ check the applicable box, and include permit information or explain why the permit is not required. Also include environmental commitments required to preclude the need for a USCG permit, or as a condition of the permit.

Section 10 United States Corps of Engineers Permit

Section 10 of the Rivers and Harbors Act requires that regulated activities conducted below the Ordinary High Water (OHW) elevation of navigable waters of the United States be approved/permited by the Corps. Section 10 of the River and Harbors Act ([33 USC 403](#)) regulates dredging and filling in “Navigable Waters”. Regulations for administering the law are in [33 CFR 322](#) and [23 CFR 650](#). Navigable waters are defined in as “those waters that are subject to the ebb and flow of the tide and/or are presently used, or have been used in the past, or may be susceptible for use to transport interstate or foreign commerce.” The Corps administers the program.

If the project involves navigable water, coordinate with the Corps. Check the “Coordination with Corps” box, and enter the date of the coordination.

In consultation with the Corps, determine if a Corps permit is required, check the applicable box, and include permit information or explain why the permit is not required. Also include environmental commitments required to preclude the need for a Corps permit, or as a condition of the permit. Refer to the *Clean Water Act Analysis Sheet* as applicable.

³³ <http://www.spl.usace.army.mil/Missions/Regulatory/Jurisdictional-Determination/Navigable-Waterways/>

³⁴ <https://www.pacificarea.uscg.mil/Our-Organization/District-11/>

³⁵ <https://www.pacificarea.uscg.mil/Our-Organization/District-13/District-Divisions/-dpw/-paton/>

Archaeological Resources and Historic Properties Analysis Sheet

Refer to the Section 106 consultation letter(s) and/or ADOT in-house memo. If no prehistoric or historic resources are present within the project's area of potential effect; cite the report in the *Environmental Impact Summary Sheet*, and delete this page from the document. All projects involving modifications to historic buildings or structures must comply with the *Secretary of the Interior Standards for the Rehabilitation of Historic Structures*, which is available from SHPO³⁶.

1. Survey Data

State if the project limits have been surveyed; include the title, date, and author of the survey report in the following format: *A Cultural Resource Survey of US 60 from Apache Junction to Florence Junction, in Pinal County, Arizona* (Grafil 2000).

2. Archaeological/Historic Sites

List sites present in the project APE in bullet format with a brief description of each site (e.g., *a historic road alignment*). If sites are eligible under criterion A, B, or C, include the location of the sites. **Do not include specific location information for sites eligible under criterion D. If a site is eligible under more than one criterion, and criterion D is one of them, do not include specific site information.**

3. THPO/SHPO Eligibility Determination

Refer to the Section 106 consultation letter(s) and identify site eligibility. List each site in its own row in the first column of the table. Include the site number for prehistoric sites and sites eligible under criterion D. Include the site number for historic sites eligible under criterion A, B, or C if a site number is assigned. Put an asterisk in the "ARHP/NRHP-Status" column, insert one of the following: *Listed*, *Eligible*, *Not Determined*, or *Ineligible*. In the "Criterion" column, list the applicable criterion by including A, B, C, or D—if a site has been determined *Ineligible* state *N/A* in the Criterion column. Add rows to the table as needed. Include project specific environmental commitments on the *Environmental Commitments Sheet*

Agency Concurrence on Finding of Effect

Refer to the Section 106 consultation letter(s), and check the applicable box corresponding to the Agency concurrence of project effect.

Agency Consultation Date(s)

For each agency that was consulted during the Section 106 process, check the applicable box, insert the date of concurrence (i.e., signature date), If an agency did not respond, list the agency name and indicate no response. Attach the Section 106 closeout memo from ADOT Environmental Planning Historic Preservation Team to Individual Checklist's *Cover Sheet Enclosed Attachments*)

³⁶ <https://www.nps.gov/tps/standards/rehabilitation/rehab/index.htm>

Section 4(f) Resources Analysis Sheet

Complete a **Section 4(f) Resources Analysis Sheet** for each Section 4(f) resource if multiple resources are involved or are within ¼ mile of project area. If there are no Section 4(f) resources within ½ mile of project area, delete this page. Contact the ADOT Environmental Planner prior to proceeding with the Section 4(f) analysis and on any 4(f) determination conclusions.³⁷ The ADOT Environmental Planner will consult with FHWA.

Section 4(f) resource

Under “Section 4(f) property name”, include the name of the Section 4(f) resource. Under “Location”, include (MP, street intersection, etc.). Include a separate map showing the Section 4(f) properties, if they can’t be easily shown on the Project Vicinity Map. Also include a statement that such Section 4(f) map follows each 4(f) sheet. Section 4(f) resources that are prehistoric sites or Traditional Cultural Places should not be listed or included on maps. Under “Ownership or administration”, include the official with jurisdiction of the Section 4(f) resource. Under “Type”, check the applicable box(es).

Use of this Section 4(f) Resource

Actual or Constructive Use

Based on the definitions of “Use” cited in 23 CFR § 774.17, determine if the project will result in an actual (direct) or constructive (proximity impacts) use of the Section 4(f) resource; check the applicable box.

Temporary Occupancy of Land (adverse in terms)

If the project will require a temporary occupancy of a Section 4(f) resource and results in the “use” of the resource because the conditions set forth under 23 CFR 774.13(d) are not met, check the box.

Section 4(f) Exceptions

If there is an exception to the use of a Section 4(f) resource as cited in 23 CFR 774.13, check the box and cite which exception applies.

A Section 4(f) approval option must be chosen if the project results in a “use” and an exception cannot be applied.

Section 4(f) Approval Options

De minimis Impacts

If the project impacts to the Section 4(f) resource meet the criteria of the *de minimis* impact as defined in 23 CFR 774.17(5), check the box.

Programmatic

If one of the following programmatic Section 4(f) evaluation can be applied for the project as defined in 23 CFR 774.3(d)(1), check the box, cite the programmatic Section 4(f) evaluation that applies and attach.

- Independent Bikeway or Walkway Projects
- Use of Historic Bridges
- Minor Involvement with Parks, Recreation Lands, and Wildlife and Waterfowl Refuges
- Minor Involvement with Historic Sites
- Transportation Projects that have a Net Benefit to a Section 4(f) Property

Individual

If a project results in a greater than *de minimis* impact and a programmatic Section 4(f) evaluation cannot be applied, check the box and attach the Individual Section 4(f) evaluation.

³⁷ Federal Highway Administration

Section 6(f) Resources Analysis Sheet

Determine if the project involves outdoor recreation lands acquired or developed with Section 6(f) funds.³⁸ Complete a separate 6(f) page for each Section 6(f) resource in the project area. If there is no Section 6(f) involvement, delete this page from the document.

Section 6(f) Resource

Include the name, type, location (MP or intersection), and ownership/administration for the Section 6(f) resource.

Section 6(f) Involvement

Determine if the property was acquired and/or developed with Section 6(f) funds, and check the applicable boxes.

Use of Section 6(f) Resource

If the project will impact the Section 6(f) resource but will not result in the conversion of lands acquired/developed with Section 6(f) funding to non-recreational purposes, check the box and include a brief explanation.

If the project will require the conversion of property acquired or developed with Section 6(f) funding to a non-recreational purpose, replacement land must be identified for transfer to the land managing agency. Text must be coordinated with applicable officials having jurisdiction over the resource (including NPS) prior to submittal to ADOT/FHWA. Contact the ADOT Environmental Planner for additional guidance prior to proceeding. Check the applicable boxes and attach the written concurrence from the land-managing agency and the National Park Service (NPS) that the replacement lands are of equal value, location, and usefulness as the impacted lands.

³⁸ https://www.nps.gov/subjects/lwcf/upload/lwcf_manual.pdf

Visual Resources Analysis Sheet

If the project does not result in a change in the existing visual character, and the project is not located along a designated Scenic Road/Byway, or on land managed by an entity with visual quality objectives (e.g., BLM), delete this page from the document.

Change in Visual Character

If the project results in a change in the existing visual character, check the box and include a description of the existing visual setting (this could include foreground and distant views), the visual changes or impacts that will occur as a result of the project. Include any environmental commitments on the *Environmental Commitments Sheet*.

Designated Scenic Road/Byway

If the project is located on a designated Scenic Road/Byway, check the applicable box and enter the name of the Road/Byway. If a visual resource assessment technical document was completed, check the applicable box, and include the title and date of the visual document.

Compliance with Visual Resource Management Objectives

If the project is located on land/easement from a land-managing agency with visual resource management objectives (e.g., BLM; USFS), determine if the project meets the specific objectives.³⁹ Check the applicable box, and discuss the objectives, and coordination, environmental commitments, and/or the agencies' concurrence with the determination. Environmental commitments must be coordinated with the visual resource specialist of the land-managing agency. USFS scenic management system objectives usually include views of the road from off the road, and views from on the road looking off the road.

Refer to the visual resource document to determine if the project will impact the overall visual quality rating of the roadway, and if the post-project condition meets the criteria for designation as a scenic road, and check the applicable box.

³⁹ <http://blmwyomingvisual.anl.gov/vr-overview/usfs/index.cfm>
<http://www.fs.fed.us/im/directives/fsm/2300/2380.doc>

Socioeconomic Impacts Analysis Sheet

If the project will not impact residential/commercial development, will not require displacement(s), and will have no temporary and/or permanent impacts to access or neighborhood continuity/community cohesion (including pedestrian and vehicular access, traffic patterns, etc.) provide a brief explanation in the Comment column on the *Environmental Impact Summary Sheet*, and do not include this page in the document. If new ROW is required, FHWA must concur early in the planning process that the acquisition is “minor,” and that a CE is the appropriate level of NEPA documentation. Contact the ADOT Environmental Planner for guidance.

1. Residential/Commercial Development and Displacement(s)

Determine if displacements are required by confirming with the ADOT ROW or Project Manager (PM) and check the applicable box. If displacements are required, include the type (e.g., single family home; commercial business); number (in terms of property owners and units as applicable); and location (e.g., east of US 60 at milepost 358.5). Include other pertinent information as needed.

Research applicable general plans and other municipal planning documents and aeriels to understand how properties and neighborhoods will be impacted. Determine if the project will impact planned developments, and check the applicable box. If impacts will occur, include information on the type and location of the developments to be impacted.

2. Temporary and Permanent Access

Determine if the project will result in temporary or permanent impacts to access. This may include access changes, sidewalk closures, parking restrictions, temporary driveway closures, etc. The impacts could include non-vehicular access, such as pedestrians, and impacts to special events, such as fairs and parades. If the project will result in access impacts, determine if they are temporary and/or permanent, check the applicable boxes, and include a discussion regarding the impacts.

3. Neighborhood Continuity and Community Cohesion

Determine if the project will have any impact to neighborhood continuity/community cohesion. Impacts may include bisecting neighborhoods and restricting access to local community features/sites. If impacts have been identified, determine if the impacts are temporary and/or permanent and include a brief explanation of the impacts as well as any applicable mitigation. Note: neighborhoods/communities are not limited to residential areas and can be commercial communities as well.

Environmental Justice Analysis Sheet

Determine if any disproportionate or high and adverse effects on protected populations will occur as a result of this project. This could include effects to access, relocations, and neighborhood continuity. If effects will occur, determine if there are any protected populations. These populations include:

- Minorities Populations– refer to census tables for correct categories
- Limited English Proficiency
- Low-income –population whose median household income is at or below the US Department of Health and Human Services poverty guidelines
- Age, sex, and disability

To determine if any of the above populations are present in the project area, determine the census tract and block groups for the project area, which can be found on the US Census website.⁴⁰ Once census tracts and block groups have been determined, data for the geographic areas will need to be obtained. Add this data to Tables 1, 2 and 3.

Other websites to investigate for Title VI information include the Arizona Department of Economic Security, the US Department of Health and Human Services⁴¹, and the FHWA – Environmental Justice.⁴²

Temporary/Permanent Effects

Discuss the project's temporary and permanent impacts on any businesses, residents, or landowners.

New ROW/Easements

Check the applicable boxes and provide the total acreage of new ROW or easements.

Affected Protected Populations

Check the applicable boxes for any protected populations that will be impacted by the project.

Proportionate Effects

Identify whether the impacts of the project will be proportionate to those experienced by the general population. Include a brief statement explaining why the effects are proportionate.

Disproportionate Effects

Identify any disproportionate effects (including discriminatory effects). If disproportionate effects will result from the project, refer to the ADOT Environmental Planning "Guidance on Title VI and Environmental Justice" on the ADOT Environmental Planning website. Contact the ADOT Environmental Planner for guidance. Present a full analysis of the effects. Include all environmental commitments on the Environmental Commitments Sheet.

⁴⁰ <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>

⁴¹ <http://aspe.hhs.gov/2015-poverty-guidelines>

⁴² Federal Highway Administration

US Census Data Analysis Sheet

For each of the following tables, include information from each census tract and block group that crosses the project limits. Enter data obtained from the 2010 Census.⁴³ Include information from the City and County that the project area is located in as comparative geographies. Shade any cell for which the percentage of a given category is higher than the comparative geography.

- 1. Table 1: 2010 Racial and ethnic demographics**
- 2. Table 2: 2010 Total Minority, Age 60 Years and Over, Below Poverty Level, Disabled, and Female Head of Household populations**
- 3. Table 3: 2010 Language Spoken at Home By Ability to Speak English**

⁴³ <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>

4. Construction-Related Impacts Analysis Sheet

Determine if the project will result in any construction-related impacts such as lane closures, detours, or dust abatement requirements. Include all environmental commitments specific to construction-related impacts on the *Environmental Commitments Sheet*. If the project will not have construction-related impacts, do not include this page in the Individual CE and briefly explain why there are no impacts in the Comment field on the *Environmental Impact Summary* sheet.

Traffic Control Measures

Briefly describe construction-related traffic impacts, and traffic control measures required to minimize impacts for construction. The applicable ADOT Construction District or LPA on self-administered projects must be provided any traffic control or other construction-related mitigation for review.

Detours

If a designated detour is necessary, it must be included in the footprint of environmental surveys and environmental analyses, and be included in socioeconomic impact analyses as well. Explain the location of detours, adding maps as needed to illustrate the location. If a detour map is included, it should go immediately after the state and vicinity maps. If detours will be required within an air quality non-attainment or maintenance area, coordinate with the ADOT Environmental Planning Noise and Air Team.

Other

If needed, check the box and briefly describe other construction-related impacts and identify applicable environmental commitments. If the public/adjacent property owners will be provided notification prior to construction, identify the responsible party (e.g., the Contractor) and include the environmental commitments on the Environmental Commitments Sheet.

Utilities Analysis Sheet

Refer to the project Design Concept Report, Project Assessment, or project plans to determine if utilities are located within the project area or will be affected by the project. Verify utility involvement with the project designer/manager. If the project will not have utility impacts, do not include this page in the Individual CE and briefly explain why there are no impacts in the Comment field on the *Environmental Impact Summary* sheet.

If utilities are not present in the project area and the project does not involve a railroad, delete this page from the document.

Utilities Present

Insert the name and a short description of all utilities present within the project area (e.g., UniSource Energy Services natural gas pipeline; Qwest telephone line).

.

Utility Involvement

Check the box if the project will require utility involvement. Check the applicable box of the type of work involved. If other, provide a brief statement of the type of work. Check the applicable box for who will be performing the utility work. If it is unknown who will do the work, check Other and provide a brief explanation. Any utility installation or relocation footprint must be covered in clearance. If customers will be affected by the utility work, provide the number of days in advance customers will be notified and who will provide notification, if applicable or use the following: The ADOT Utility and Railroad Engineering Section or the LPA administering the project will investigate utility involvement.

For each of the categories, include the name of the applicable utility for each respective type of work, performer of the work, notification responsibility in bullet or numbered format below the checked box. For example:

- ☒ Type of work involved:
- ☒ Relocation (area subject to relocation needs to be cleared)
 - 1. SRP
 - 2. Qwest
- ☒ The work will be performed by:
- | | | |
|--|--|--|
| <input checked="" type="checkbox"/> ADOT | <input checked="" type="checkbox"/> Contractor | <input type="checkbox"/> Utility Company |
| 1. SRP | 2. Qwest | |

Railroad Project

For Railroad Projects: check the box and insert the name of the railroad company.

Hazardous Materials Evaluation Analysis Sheet

Per the 2010 EPA/ADOT Asbestos Consent Decree, an asbestos assessment will be required for any load-bearing structures (e.g., bridges; buildings) that will be modified or altered as a result of the project. If the project involves any work on an existing structure that has been previously painted, a test for RCRA metals will be required. For each of the fields, summarize the recommendation of the investigations.

Note: If project occurs within Maricopa County, the asbestos assessment must be current during the duration of construction.⁴⁴

National Emission Standards for Hazardous Air Pollutants (NESHAP)

Check the box if load-bearing structures will be modified or altered by the project. Provide the date and findings of the asbestos survey. Determine if a NESHAP permit is required;⁴⁵ if the permit is required, check the applicable box and state applicable mitigation measures as applicable.

Resource Conservation and Recovery Act (RCRA) METALS

Check the box if work will occur on existing structures that have been previously painted. Provide the date and findings (including any applicable mitigation measures) of the RCRA metals (e.g., lead) survey.

ADEQ and EPA Records Check

Check the box if a records check of ADEQ and EPA databases was conducted. Provide the date and findings (including any applicable mitigation measures) of the records check. In the findings field, indicate the recommendation of the records check, do not list all items identified during the hazardous materials research.

Tribal Records Check

Check the box if tribes were contacted regarding their hazardous materials records. Provide the date and findings (including any applicable mitigation measures) of tribal hazardous materials records, including the names of the Tribes contacted in the "findings" field.

PISA

Check the box if a PISA was conducted for the project.⁴⁶ Provide the ADOT approval date and the findings of the PISA and attach the PISA approval page to the Individual CE indicating such on the checklist's *Cover Sheet, Enclosed Attachments*. Include all environmental commitments specific to hazardous materials impacts on the *Environmental Commitments Sheet*. The PISA must be updated every six months

Phase I

Check the box if a Phase I hazardous materials study was conducted. Provide the date of concurrence and the findings of the Phase I study and attach the Phase I approval page to the Individual CE indicating such on the checklist's *Cover Sheet, Enclosed Attachments*. Include all environmental commitments specific to hazardous materials impacts on the *Environmental Commitments Sheet*.

Findings

Summarize the results of the hazardous materials investigations which occurred as part of the project.

⁴⁴ <https://www.maricopa.gov/1701/Asbestos>

⁴⁵ <https://azdot.gov/business/environmental-planning/hazardous-materials>

⁴⁶ <https://azdot.gov/business/environmental-planning/hazardous-materials>

Noise Analysis Sheet

Refer to FHWA's Noise Abatement Criteria⁴⁷ and the ADOT NAR⁴⁸. Review project data to determine if the proposed project is categorized as Type I, as it increases capacity or results in substantial changes to the horizontal or vertical alignment of the roadway. Review the project area to determine if noise-sensitive land use categories are present within approximately 800-1,000 feet of the project area. If the proposed project is not categorized as Type I or impact noise sensitive land use categories include any suggested environmental commitments specific to noise impacts on the *Environmental Commitments Sheet*.

Quantitative Analysis

If the proposed project increases capacity or substantially alters the alignment of an existing roadway (this includes adding new roadway alignment) and if noise-sensitive land use categories are present within approximately 800-1,000 feet of the project area, then a quantitative analysis is required. Check the Quantitative analysis required box and note the date the noise report was completed.

Results of Quantitative Analysis

Check the "Results of quantitative analysis" box and check only one of the choices that applies, "Impact(s) not identified", "Impacts(s) identified. Noise abatement measure(s) not feasible/reasonable", or "Impact(s) identified. Noise barrier(s) recommended" fill out "public involvement/workshop completed on" section. Include all environmental commitments specific to noise impacts on the *Environmental Commitments Sheet*.

⁴⁷ http://www.fhwa.dot.gov/environment/noise/regulations_and_guidance/

⁴⁸ <https://www.azdot.gov/business/environmental-planning/noise/noise-abatement>

Arizona Pollutant Discharge Elimination System/National Pollutant Discharge Elimination System Permit Analysis Sheet

Coordinate with the project manager or project engineer to determine if the project will result in 1 or more acres of construction activity. If the project will result in 1 or more acres of construction activity, fill out and attach the analysis sheet. If the project requires less than 1 acre of construction activity delete the analysis sheet, but the contractor is required to fulfill stormwater quality and erosion/sediment control BMPs in a manner that minimizes pollutants in the discharges, including stabilizing the site after completion of construction.

Permit

If the project will result in 1 or more acres of construction activity determine if a National (tribal land) or Arizona (non-tribal) Pollutant Discharge Elimination System Permit is required. Check the applicable boxes and fill in the name of the permit.

Review the ADEQ list of outstanding Arizona waters and impaired waters, located on the ADEQ website⁴⁹. If the project is located within 0.25 mile of outstanding Arizona waters and impaired water, check the applicable box; list the name of the water and the parameters of concern. Projects within 0.25 mile of an impaired water or outstanding Arizona water require either an AZPDES permit with the SWPPP and sampling plan approved by ADEQ prior to start of construction (non-tribal lands). Determine if the project is located within a designated Municipal Separate Storm Sewer System (MS4)⁵⁰; check the box and include the name of the MS4 as applicable. Include all environmental commitments specific to the permit on the *Environmental Commitments Sheet*.

If the project is within 0.25 mile of an outstanding Arizona waters or impaired water include the name of the water and associated impairments in the environmental commitments and include on the *Environmental Commitments Sheet*.

If the project is within a designated MS4, include the name of the MS4 in the environmental commitment and include on the *Environmental Commitments Sheet*.

Railroad Project

If the project is being completed by a railroad, check the box and insert the railroad name.

⁴⁹ <http://www.azdeq.gov/function/programs/gis.html>

⁵⁰ <http://legacy.azdeq.gov/enviro/water/permits/azpdes.html>

Air Quality Analysis Sheet

Attainment Area

Refer to the nonattainment/maintenance area maps on the ADEQ website to determine air quality status. If the project is in an area that complies with all National Ambient Air Quality Standards, check the box and complete the necessary shaded sections of the this page.. Delete the Project Level Conformity section of this page and include all applicable environmental commitments specific to air quality on the *Environmental Commitments Sheet*.

Nonattainment/Maintenance Area

If the project is in located in a nonattainment and/or maintenance area, provide the name of the non-attainment or maintenance area and the pollutant(s) of concern in the project area. Refer to the ADOT Environmental Planning Air Quality website⁵¹ to obtain a list of project types exempt from conformity requirements, determine if the project is exempt from conformity, and check the applicable box.

If the project is not exempt from conformity, check the box(s) if the project is in a CO Maintenance Area and/or PM10 or PM2.5 nonattainment and/or maintenance area, refer to the Air Quality website for information on the CO, PM10 and/or PM2.5 Project Level Hot-Spot Process.⁵² Complete the shaded portions of the Project Level Conformity section of this page and include all applicable environmental commitments specific to air quality on the *Environmental Commitments Sheet*.

Carbon Monoxide Maintenance Area

If the project is not exempt from conformity and included in a CO maintenance area contact ADOT Environmental Planning Air Quality staff to obtain the Project Level CO Hot-Spot Analysis Questionnaire, submit a completed document to ADOT staff to review and determine the appropriate level of analysis. If ADOT determined that CO modeling is not require then check the box and note the date this determination was made. If ADOT determined that CO microscale analysis (hot-spot modeling) is required the CO Project Level Hot-Spot "Consultation Document" will need to be completed and returned to ADOT for a 30 day interagency consultation period on the modeling assumptions, check the box and note the date interagency consultation was complete. ADOT will notify consultant when modeling can begin, an air quality analyst will be submitted to ADOT document the date the report was approved on the Air Quality Analysis Sheet.

PM10 or PM2.5 Nonattainment or Maintenance Area

If the project is not exempt from conformity and included in a PM10 and/or PM2.5 nonattainment or maintenance area contact ADOT Environmental Planning Air Quality staff to obtain the Project Level PM Hot-Spot Analysis "Questionnaire", submit a completed document to ADOT staff for a 10 day interagency consultation period to determine if the project is a project of air quality concern. The questionnaire describes the type of data needed to make this determination, and includes traffic data on truck volumes and LOS this may require a supplement traffic study if the data is not available for the project. If through interagency consultation it is determined that the project is not a project of air quality concern then check the box and note the date this determination was made. If the project is a project of air quality concern then a PM microscale analysis (hot-spot modeling) is required the PM10 Project Level Hot-Spot "Consultation Document" will need to be completed and returned to ADOT for a 30 day interagency consultation period on the modeling assumptions, check the box and note the date interagency consultation was complete. ADOT will notify consultant when modeling can begin, an air quality analyst will be submitted to ADOT document the date the report was approved on the Air Quality Analysis Sheet.

⁵¹ <https://azdot.gov/business/environmental-planning/air-quality/project-development>

⁵² <https://azdot.gov/business/environmental-planning/air-quality/project-development>